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U.S. Army Corps of Engineers Environmental Review Guide for Operations (ERGO) Cycle I Assessment

Reports Analysis

by

Diane K. Mann

The U.S. Army Corps of Engineers is proactive in responsible environmental management of its operations, which include navigation locks, dams, hydroelectric power plants, dredges, campgrounds, marinas, oil and gas well drilling facilities, forests, and grazing lands. A comprehensive system, Environmental Review Guide for Operations (ERGO), was developed to achieve, maintain, and monitor compliance with environmental laws and regulations. ERGO provides managers with an accurate picture of compliance levels and corrective action required as well as providing guidance for wise stewardship.

Cycle I of ERGO established a baseline for future environmental compliance assessments.

Reports generated during Cycle I were analyzed to evaluate the assessment process, identify strengths and weaknesses, comment on productivity, and suggest improvements for succeeding ERGO Cycles. A method was devised to evaluate finding write-ups, rating of findings, corrective actions, and report content. This study identified specifics, magnitude, and universality of problems. These problems can be addressed by organizational policy, revised guidance, commitment to tracking corrective actions, and specific training to improve future ERGO cycles. Analytic methods used for ERGO Cycle I have potential for broader application to other organizations seeking insight into their programs.

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Executive Summary

Introduction

The U.S. Army Corps of Engineers takes a pro-active approach to achieving and maintaining compliance with environmental laws and regulations at the diverse projects and facilities it manages throughout the United States. The Corps Civil Works organization operates and maintains navigation locks, dredges, flood damage reduction dams and levees, hydroelectric power plants, public picnic areas, beaches, campgrounds, and other facilities. In addition, the Corps oversees the operation of marinas, oil and gas extraction facilities, timber harvests, agricultural operations, and various activities conducted by others on Corps-managed properties. The Corps has an environmental compliance assessment program founded on periodic project and facility assessments using the Environment Review Guide for Operations (ERGO), a comprehensive checklist of Federal and Corps environmental laws and regulations. ERGO assessments provide project and facility managers with a picture of their compliance status and identify corrective actions required. ERGO Cycle I assessments were conducted at all projects and facilities during the FY91 through FY94 period.

Analysis Objectives

The objective of this analysis is to evaluate sample ERGO Cycle I assessment and correction action reports from throughout the Corps to identify process and product strengths and weaknesses to make recommendations that will improve the consistency and effectiveness of succeeding ERGO Cycles.

Analysis Results

The Corps took a major step forward in environmental management when it implemented the ERGO environmental compliance assessment program. Training, commitment, and extra hard work by assessors led to successful completion of ERGO Cycle I assessments. ERGO Cycle I substantially improved the Corps compliance status, increased environmental awareness throughout

the organization, and established a baseline for future assessment cycles. Although especially outstanding in assessing water quality, pesticides, and natural resources, several issues require additional attention. Some compliance assessments lack consistency in reporting, scoring, prioritizing, and correcting findings of noncompliance. Successful evolution of the ERGO process during Cycle I reflects positively on the initiative and hard work of personnel assigned the formidable task of starting a major program. Correction of issues suggested in the analysis should improve budget planning and identification of root causes of noncompliance. Future assessment cycles can be expected to increase the return on resource expenditures for assessments and continue to reduce occurrences of noncompliance with environmental regulations.

Summary of Recommendations

It is recommended that the Corps of Engineers establish minimal policy and guidance necessary to improve the consistency of the ERGO process, but continue to avoid an elaborate reporting process. The organization should demonstrate a commitment to tracking corrective actions until their completion to decrease vulnerability from outside inspections, enforcement actions, and negative publicity. Future training should concentrate on weaknesses identified that should have positive results in the field and for ERGO Cycle II. All recommendations from this analysis are listed on the following pages.

List of Recommendations

1. Attention to writing condition(s) observed for a finding should continue to focus on clarity and factual information.
2. Finding conditions should include sample size, descriptions of amounts, and other indicators of the extent of the condition of noncompliance.
3. Designated team chief of the ERGO assessment team should stress the importance of sufficient information in finding conditions and check early in the assessment to see if appropriate information is being included.
4. Instructions to assessors should stress the importance of entering specific site locations on finding sheets.
5. Every finding of noncompliance should include citation(s) of statutory/regulatory criteria used as the basis for the finding.

6. Every finding of noncompliance should include pertinent text of statutory/regulatory citation used as the criterion or, if too lengthy, a paraphrase to illustrate the reason for the finding.
7. If the criteria has more than one citation, the text of citation with greatest priority should be included in its entirety, or should be well paraphrased.
8. Policy should be established as to priority assigned to criteria, such as: (a) Federal regulation, (b) State regulation, (c) Engineering regulation, (d) DOD Directive, (e) Engineering Manual, or some other similar scheme.
9. Continue the practice of soliciting optional comments.
10. Emphasize the value added to the assessment for project/facility managers when comments give specific directions, provide advice, and share expertise.
11. The designated team chief of an ERGO assessment team should check for any pattern of errors and try to assist team members needing guidance early in the assessment.
12. Policy decision should be made on maintaining or discarding the practice of using Engineering Manuals as criteria for noncompliance findings.
13. The seriousness of rating should be thoroughly and clearly supported in the finding condition.
14. The ERGO team chief should check for consistency in application of the rating system.
15. Special attention should be applied to rating hazardous waste, solid waste, and wastewater findings during training sessions.
16. Guidance should be issued emphasizing the seriousness of a significant rating and importance of a strong, clear, supporting condition.
17. Training should address the responsible use of a significant rating and provide examples.
18. Training and instructions to assessment teams should stress conditions necessary to warrant a rating of "Major."

19. Policy should be established defining the use, reporting, and treatment of a "Good Management Practice" (GMP).
20. Corrective actions for significant, major, and minor findings of noncompliance should take precedence over devoting time and resources to implementing GMPs.
21. Training and instructions to ERGO assessment teams should stress unique attributes of a GMP that distinguish it from a regulatory finding of noncompliance.
22. Positive findings should be an integral part of ERGO assessments.
23. Training and instructions should cover standards for awarding positive ratings to ensure their correct and consistent use.
24. Positive findings should not be rated.
25. New rating categories should be prohibited unless approved by HQUSACE.
26. Firm policy should be issued stating that every finding of noncompliance must have a corrective action that is tracked until compliance is achieved.
27. If completed, corrective action closing date should be stated.
28. Projected completion date should be provided for ongoing and in-progress corrective actions.
29. Corrective actions scheduled for completion over 2 years in the future should contain sufficient information to justify protraction.
30. Policy should be established that specifies who had authority to determine that no corrective action is necessary because this determination voids an assessors finding of noncompliance.
31. At a minimum, report covers should identify ERGO, project or facility name, and district.
32. Date(s) on report should be identified as to stage in ERGO process.

33. Well designed finding sheets could be used as the report section/chapter on findings of noncompliance because this has been successfully demonstrated to be an efficient format.
34. Corrective actions should be incorporated on the finding sheet.
35. Assign responsibility for corrective actions using impersonal office designations.
36. Include at least one Corps person on a contract assessment team, if possible.
37. Evaluation and monitoring of contractor assessments should discourage "quantity," which is repetitious and tends to obscure priorities for corrective action.
38. Labeling and description of photographs should be required to justify time and expense invested in them.

Foreword

This study was conducted for the Directorate of Civil works, Headquarters, U.S. Army Corps of Engineers (HQUSACE), under Funding Acquisition Document (FAD) 3123-950807398, Work Unit LM5, "ERGO Cycle I Assessment Process Review." The technical monitor was Mr. James Wolcott, CECW-OA.

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Contents

| | |
|--|-----------|
| SF 298 | 1 |
| Executive Summary | 3 |
| Foreword | 8 |
| List of Tables..... | 11 |
| 1 Introduction | 13 |
| Background..... | 13 |
| Objectives | 13 |
| Approach..... | 13 |
| 2 Analysis of Finding Write-Ups | 18 |
| Finding Write-Ups | 18 |
| Recommendation 1 | 19 |
| Recommendations 2 & 3 | 20 |
| Recommendation 4..... | 20 |
| Recommendations 5, 6, 7, & 8 | 21 |
| Recommendations 9 & 10 | 23 |
| Recommendation 11..... | 23 |
| Recommendation 12..... | 24 |
| 3 Analysis of Rating of Findings..... | 25 |
| Ratings of Findings | 25 |
| Recommendations 13, 14, & 15 | 28 |
| Recommendations 16 & 17 | 28 |
| Recommendation 18..... | 30 |
| Recommendations 19 & 20 | 30 |
| Recommendation 21..... | 31 |
| Recommendations 22 & 23 | 32 |
| Recommendation 24..... | 32 |
| Recommendation 25..... | 33 |
| 4 Evaluation of Corrective Actions..... | 34 |
| Corrective Action Plans | 34 |
| Recommendation 26..... | 35 |

| | |
|--|-----------|
| Recommendations 27, 28, 29, and 30..... | 36 |
| Overview of Protocols..... | 36 |
| 5 Analysis of Report Format and Content | 38 |
| Format and Content..... | 38 |
| Recommendations 31 & 32 | 39 |
| Recommendations 33 & 34 | 39 |
| Recommendation 35..... | 40 |
| Recommendations 36 & 37 | 40 |
| Recommendation 38..... | 41 |
| 6 Conclusion and Recommendations..... | 42 |
| Appendix A: Evaluation Sheet Elements | 46 |
| Appendix B: Coding for Major Heading Elements..... | 48 |
| Appendix C: Information Included on a Finding Sheet..... | 51 |
| Appendix D: Protocols and Years With Poorly Written Findings | 52 |
| Appendix E: Protocols and Years With Exceptionally Well Written Findings | 53 |
| Appendix F: Finding Conditions With Insufficient Information According to Protocol..... | 55 |
| Appendix G: Criteria Problems According to Protocol..... | 57 |
| Appendix H: Comments Totaled for Each Protocol | 59 |
| Appendix I: Questionable and Unsupported Ratings by Protocol | 60 |
| Appendix J: Major Ratings Examined and Correctly Rated by Protocol as Too Severe..... | 63 |
| Appendix K: Total Positive Findings Made for Each Protocol..... | 64 |
| Appendix L: Negative Findings and Corrective Actions Listed by Protocol and Year | 67 |
| Appendix M: Information Included on Report Covers..... | 69 |
| Appendix N: Sample Final Report Cover with Identified Dates | 72 |
| Distribution | |

List of Tables

Tables

| | | |
|----|--|----|
| 1 | 1991 ERGO reports. | 14 |
| 2 | 1992 ERGO reports. | 14 |
| 3 | 1993 ERGO reports. | 14 |
| 4 | 1994 ERGO reports. | 14 |
| 5 | Finding Totals 1991. | 15 |
| 6 | Finding totals 1992..... | 16 |
| 7 | Finding totals 1993..... | 16 |
| 8 | Finding totals 1994..... | 16 |
| 9 | Cycle I findings totals 1991-1994..... | 17 |
| 10 | Total ERGO phase I findings examined. | 17 |
| 11 | Evaluation of finding write-ups. | 19 |
| 12 | Findings with insufficient information. | 20 |
| 13 | Findings with criteria problems. | 21 |
| 14 | Useful comments. | 22 |
| 15 | Regulation criteria used as basis for significant ratings of noncompliance. | 26 |
| 16 | Regulation criteria used as basis for major ratings of noncompliance. | 26 |
| 17 | Regulation criteria used as basis for minor ratings of noncompliance. | 26 |
| 18 | Evaluation of finding ratings..... | 27 |
| 19 | Protocols with largest percentage of problem ratings..... | 27 |
| 20 | Significant rating problems..... | 28 |
| 21 | Possible errors in ratings of major. | 29 |
| 22 | Possible errors in ratings of minor. | 29 |
| 23 | Errors in rating of GMP. | 31 |
| 24 | Errors in ratings of positive. | 32 |
| 25 | Trend in corrective actions..... | 34 |
| 26 | Grouping of corrective actions. | 35 |
| 27 | Protocol rankings. | 36 |
| 28 | Protocol rankings based on averages. | 37 |
| 29 | Information on report covers. | 38 |
| 30 | Identification of dates on report covers..... | 39 |

1 Introduction

Background

The ERGO program began with the creation of a steering committee of project, district, and division operational personnel in 1990. A series of working meetings were held to develop a manual for managers to use to ensure compliance of their facilities and projects with Federal, Corps, State, and local environmental laws and regulations. The core of the ERGO program is project and facility evaluations identifying strengths, weaknesses, and specific problems at operational projects and facilities. ERGO Cycle I compliance assessments were performed Corps-wide using a variety of assessment team configurations (district teams, district/division teams, project teams, and contractors) and the ERGO manual as the basis for identifying exceptional performance as well as deficiencies, issuing reports, and developing corrective actions plans (CAPs). The completion of Cycle I offers an opportunity to evaluate the ERGO process.

Objectives

The objectives of this analysis were: (1) to evaluate a sample of ERGO Cycle I assessment and correction action reports from throughout the Corps to identify process and product strengths and weaknesses, and (2) to make recommendations that will improve the consistency and effectiveness of succeeding ERGO Cycles.

Approach

In a memo dated 9 June 1995, Mr. Dan Burns, Chief, Operations, Construction and Readiness Division, Directorate of Civil Works asked that at least one ERGO report and corrective action plan from each district be sent to USACERL for analysis. ERGO reports received were grouped according to year assessment was performed (Tables 1-4).

Table 1. 1991 ERGO reports.

| District | Projects and Facilities | Date |
|-------------|--|-----------------|
| Huntington | John W. Flannagan Dam and Reservoir | Jun 12-13 |
| Little Rock | Russelville Resident Office and Marine Terminal | |
| | Dardanell Project Office, Powerhouse and Lock/Dam | Jun 17-20 |
| Tulsa | Oologah Project/Office/Facility | Sep 2-4 |
| Galveston | Brazos River Floodgates | Sep 11 |
| Albuquerque | Abiquiu Lake | Oct 24 - Nov 13 |
| Baltimore | Raystown Lake | Dec 12 |
| Little Rock | Millwood, DeQueen, Dierks and Gilham Project Offices and Compounds | Dec 17-19 |

Table 2. 1992 ERGO reports.

| District | Projects and Facilities | Date |
|--------------|----------------------------------|-----------|
| Tulsa | Keystone Lake | Feb 4 |
| Jacksonville | Lake Okeechobee and Waterway | Mar 9-13 |
| Detroit | Soo Area Office | Apr 13-15 |
| Wilmington | B. Everett Jordan Lake | Apr 13-16 |
| Vicksburg | Arkabutla Lake and Field Office | May 11 |
| Louisville | Taylorsville Lake | May 12 |
| Los Angeles | Alamo Lake | May 12-14 |
| St. Paul | Eau Galle Lake | May 19-20 |
| New Orleans | Algiers Lock | May 22 |
| Pittsburgh | Allegheny River Lock and Dam 2 | Jul 8 |
| Memphis | Graham Burke Pumping Plant | Jul 16 |
| Savannah | J. Strom Thurmond Project | Sep 14-18 |
| Charleston | Cooper River Rediversion Project | Dec 2 |

Table 3. 1993 ERGO reports.

| District | Projects and Facilities | Date |
|-------------|--|-----------|
| Walla Walla | Dworshak Project | May 3-7 |
| Fort Worth | Lavon Lake | May 20-21 |
| Sacramento | Pine Flat Lake | Jul 21-22 |
| Mobile | Walter F. George and George W. Andrews Lakes | Aug 23-27 |
| Chicago | Chicago River and Harbor | Fall |

Table 4. 1994 ERGO reports.

| District | Projects and Facilities | Date |
|-------------|--|-----------------|
| Nashville | Old Hickory Project | Mar & Apr |
| Kansas City | Pomme De Terre | Mar 8-11 |
| Rock Island | Peoria Lock and Dam | Mar 30 |
| Seattle | Puyallup Levee | Apr 11 |
| Buffalo | Mount Morris Dam | May 17 - Sep 20 |
| Omaha | Papillion Creek Lakes and Dams | May 24-25 |
| St. Louis | Wappapello Lake | Jul 11-18 |
| Pittsburgh | Youghiogheny Lake | Sep |
| Portland | U.S. Moorings and Logistics Management Warehouse | Nov 21-22 |

A random sample of reports, including at least one from each year, were given a cursory reading to design an evaluation system that encompassed elements common to all reports over the 4-year period represented (Appendix A). Some elements were examined in terms of "poor," "satisfactory," and "exceptional." Other elements were examined according to a range of specifics relative to a finding write-up of a condition on noncompliance such as various forms of insufficient information. A coding system was devised to record the specifics used to judge each element (Appendix B). Emphasis was placed on various aspects of the findings (condition statement, criteria, and comments) as reflected in the evaluation design.

Findings were tabulated by protocol section for each year to permit comparisons on different configurations such as an overview for each year, protocol totals of selected elements and specific trends over 4 years in all protocols. Basic yearly totals include total negative findings (indicating noncompliance) and total positive findings (which exceed requirements) (Tables 5 to 8).

Yearly totals for all findings, negative findings, positive findings, and their percentages were added (Tables 9 and 10) to indicate the scope of this study. A total of 100 reports from 31 districts were examined. Individual reports for outgrants that were part of a large project were part of the total of 100 reports. Majority of reports (47) were submitted for 1992 assessments. Reports submitted from 1993 totaled 22 and from 1994 totaled 21. Assessment reports from 1991 totaled 10 and included the fewest outgrants.

A total of 1,745 findings were evaluated. However, some tables are based on a total of 1,657 findings because some reports did not include needed information for findings to be analyzed for inclusion in tables addressing specific qualities.

Table 5. Finding Totals 1991.

| Protocol | Total Findings | Total Negative | Total Positive |
|---------------------------|----------------|----------------|----------------|
| Air emissions | 13 | 11 | 2 |
| Cultural resources | 17 | 17 | 0 |
| Hazardous materials | 47 | 44 | 3 |
| Hazardous waste | 22 | 21 | 1 |
| Natural resources | 16 | 14 | 2 |
| Pesticides | 17 | 16 | 1 |
| Petroleum oils lubricants | 47 | 41 | 6 |
| Solid waste | 24 | 23 | 1 |
| Special pollutants | 12 | 11 | 1 |
| Underground storage tanks | 18 | 17 | 1 |
| Wastewater | 18 | 15 | 3 |
| Water quality | 13 | 13 | 0 |
| Total | 264 | 243 | 21 |

Table 6. Finding totals 1992.

| Protocol | Total Findings | Total Negative | Total Positive |
|---------------------------|----------------|----------------|----------------|
| Air emissions | 31 | 30 | 1 |
| Cultural resources | 52 | 51 | 1 |
| Hazardous materials | 163 | 152 | 11 |
| Hazardous waste | 94 | 88 | 6 |
| Natural resources | 70 | 65 | 5 |
| Pesticides | 109 | 103 | 6 |
| Petroleum oils lubricants | 127 | 116 | 11 |
| Solid waste | 69 | 68 | 1 |
| Special pollutants | 26 | 22 | 4 |
| Underground storage tanks | 20 | 19 | 1 |
| Wastewater | 53 | 52 | 1 |
| Water quality | 39 | 38 | 1 |
| Total | 853 | 804 | 49 |

Table 7. Finding totals 1993.

| Protocol | Total Findings | Total Negative | Total Positive |
|---------------------------|----------------|----------------|----------------|
| Air emissions | 10 | 10 | 0 |
| Cultural resources | 16 | 16 | 0 |
| Hazardous materials | 55 | 53 | 2 |
| Hazardous waste | 34 | 33 | 1 |
| Natural resources | 5 | 5 | 0 |
| Pesticides | 44 | 43 | 1 |
| Petroleum oils lubricants | 35 | 32 | 3 |
| Solid waste | 20 | 18 | 2 |
| Special pollutants | 8 | 8 | 0 |
| Underground storage tanks | 14 | 14 | 0 |
| Wastewater | 4 | 3 | 1 |
| Water quality | 5 | 5 | 0 |
| Total | 250 | 240 | 10 |

Table 8. Finding totals 1994.

| Protocol | Total Findings | Total Negative | Total Positive |
|---------------------------|----------------|----------------|----------------|
| Air emissions | 11 | 11 | 0 |
| Cultural resources | 22 | 22 | 0 |
| Hazardous materials | 76 | 71 | 5 |
| Hazardous waste | 36 | 33 | 3 |
| Natural resources | 25 | 18 | 7 |
| Pesticides | 33 | 33 | 0 |
| Petroleum oils lubricants | 72 | 69 | 3 |
| Solid waste | 32 | 27 | 5 |
| Special pollutants | 12 | 11 | 1 |
| Underground storage tanks | 22 | 21 | 1 |
| Wastewater | 19 | 13 | 6 |
| Water quality | 18 | 15 | 3 |
| Total | 378 | 344 | 34 |

Table 9. Cycle I findings totals 1991-1994.

| Protocol | Total Findings | Total Negative | Total Positive |
|---------------------------|----------------|----------------|----------------|
| Air emissions | 65 | 62 | 3 |
| Cultural resources | 107 | 106 | 1 |
| Hazardous materials | 341 | 320 | 21 |
| Hazardous waste | 186 | 175 | 11 |
| Natural resources | 116 | 102 | 14 |
| Pesticides | 203 | 195 | 8 |
| Petroleum oils lubricants | 281 | 258 | 23 |
| Solid waste | 145 | 136 | 9 |
| Special pollutants | 58 | 52 | 6 |
| Underground storage tanks | 74 | 71 | 3 |
| Wastewater | 94 | 83 | 11 |
| Water quality | 75 | 71 | 4 |
| Total | 1745 | 1631 | 114 |

Table 10. Total ERGO phase I findings examined.

| Year | Total Findings | Total Negative | Percentage Negative | Total Positive | Percentage Positive |
|-------|----------------|----------------|---------------------|----------------|---------------------|
| 1991 | 264 | 243 | 92% | 21 | 8% |
| 1992 | 853 | 804 | 94% | 49 | 6% |
| 1993 | 250 | 240 | 96% | 10 | 4% |
| 1994 | 378 | 344 | 91% | 34 | 9% |
| Total | 1745 | 1631 | 93% | 114 | 7% |

2 Analysis of Finding Write-Ups

Finding Write-Ups

Evaluating report findings without benefit of being present on the site at the time of the assessment skews the study by omission because a study of unreported findings of environmental noncompliance cannot be attempted. However, this same factor increases objectivity in studying how findings were reported because of total focus on what is written. Most findings contained adequate information; a few findings stood out because they were exceptionally well written; and a few findings were severely flawed by misconceptions and incompleteness. An example of a finding summary sheet is provided in Appendix C.

Finding

Satisfactorily written finding conditions have improved during Phase I; exceptionally well written finding conditions are in a declining trend.

Background and Discussion

Every finding describes what the assessor observed, which is termed "condition." The condition is the statement of facts pertinent to the finding. The overall information presented in the condition of the finding and its clarity were evaluated as poorly written (information incomplete or unclear), satisfactorily written (description of observations adequate and clear), or exceptionally well written (information precise and demonstrating insight/expertise). A trend reflected in this evaluation was a decrease in well written findings; satisfactorily written findings increased and poorly written findings fluctuated a few percentage points (Table 11). It is possible that the large number of well written findings in 1991 reflects extra care and time devoted to writing, which decreased subsequently with rote and haste.

Table 11. Evaluation of finding write-ups.

| Year | Satisfactory | Percent | Exceptional | Percent | Poor | Percent |
|-------|--------------|---------|-------------|---------|------|---------|
| 1991 | 121 | 69% | 50 | 28% | 5 | 3% |
| 1992 | 671 | 79% | 105 | 12% | 77 | 9% |
| 1993 | 209 | 84% | 37 | 15% | 4 | 2% |
| 1994 | 319 | 84% | 44 | 12% | 15 | 4% |
| Total | 1320 | 80% | 236 | 14% | 101 | 6% |

Protocols with the largest number of poorly written findings were Hazardous Waste (17 percent in 1992), Natural Resources (16 percent in 1992), and Pesticide (13 percent in 1992). All other protocols were 10 percent or less for all 4 years, as were the above mentioned for the other 3 years (Appendix D).

Protocols with the largest number of exceptionally well written findings were Natural Resources (64 percent in 1991), Cultural Resources (50 percent in 1991), USTs (50 percent in 1992), Water Quality (33 percent in 1991), Hazardous Materials (32 percent in 1991), and Hazardous Waste (32 percent in 1993) (Appendix E). Many protocols had percentages of well written findings as high as 30 percent for one of the years. The number of well written findings outnumbered poorly written ones 14 percent to 6 percent for the reports studied (Table 11). Two (Hazardous Waste and Natural Resources) of the three protocols in the group with the largest number of poorly written findings were also in the group with the largest number of well written findings in other years. No consistent pattern was exhibited.

Recommendation 1

1. Attention to writing condition(s) observed for a finding should continue to focus on clarity and factual information.

Finding

A few problems in writing finding conditions were universal.

Background and Discussion

Although evaluation for several possible shortcomings was part of the design for analysis (Appendix B), a single problem in the writing of finding conditions tended to clump to one or two reports and was not common to all districts over the entire span of ERGO Cycle 1. Because of this clumping, several problems

were tabulated under the general heading of insufficient information (Appendix F). Insufficient information includes lack of sample size when appropriate, lack of frequency of event when appropriate, lack of dimensions or concentration when appropriate, and unjustifiably combining several conditions into one finding. A major problem is the omission of sample size, which is critical to rating (for example, "improper labeling of drums of hazardous waste" could be two of two drums or two of 100 drums). With the exception of 1993, the trend is toward improved writing of finding conditions (Table 12).

Table 12. Findings with insufficient information.

| Year | Total Negative Findings | Insufficient Information | Percentage |
|------|-------------------------|--------------------------|------------|
| 1991 | 167 | 32 | 19% |
| 1992 | 804 | 142 | 17% |
| 1993 | 240 | 55 | 23% |
| 1994 | 347 | 53 | 15% |

Recommendations 2 & 3

2. Finding conditions should include sample size, descriptions of amounts, and other indicators of the extent of the condition of noncompliance.
3. Designated team chief of ERGO assessment team should stress the importance of sufficient information in finding conditions and check early in the assessment to see if appropriate information is being included.

Finding

Locations for findings of noncompliance were not always specific enough.

Background and Discussion

Many findings lacked specific site locations necessary for follow up on corrective actions, regular management inspections, and succeeding environmental compliance assessments.

Recommendation 4

4. Instructions to assessors should stress the importance of entering specific site locations on finding sheets.

Finding

Criteria for finding of noncompliance were sometimes lacking or incomplete.

Background and Discussion

Every finding sheet includes space for the assessor to state the citation and its text, or a paraphrase of the text, that was used as the criterion for a finding of noncompliance (Appendix C). Criteria problems ranged from totally omitted, through incomplete, to poorly chosen or paraphrased. Sometimes the citation was missing, which meant the source could not be consulted for clarification. Inclusion of criteria is essential to the credibility and usefulness of the report, especially to management. Trend in criteria problems shows backsliding (Table 13). Computerized reporting should cure this problem by inserting the complete citation and criteria statement(s). In some cases, criteria from several sources were applicable and including everything would have been cumbersome. Perhaps all citations could be listed, but only the criteria of the regulation with highest priority were written out.

Table 13. Findings with criteria problems.

| Year | Total Negative Findings | Number of Problems | Percentage |
|-------------|--------------------------------|---------------------------|-------------------|
| 1991 | 167 | 35 | 20% |
| 1992 | 804 | 45 | 5% |
| 1993 | 240 | 14 | 6% |
| 1994 | 347 | 43 | 12% |

Protocols with the most consistent criteria problems over 4 years were Wastewater (19 percent), Cultural Resources (18 percent), and Underground Storage Tanks (13 percent) (Appendix G).

Recommendations 5, 6, 7, & 8

5. Every finding of noncompliance should include citation(s) of statutory/regulatory criteria used as the basis for the finding.
6. Every finding of noncompliance should include pertinent text of statutory/regulatory citation used as the criteria or, if too lengthy, a paraphrase to illustrate the reason for the finding.
7. If the criterion has more than one citation, the text of the citation with the greatest priority should be included in its entirety or should be well paraphrased.

8. Policy should be established as to priority assigned to criteria, such as: (a) Federal regulation, (b) State regulation, (c) Engineering regulation, (d) DOD Directive, (e) Engineering Manual, or some similar scheme.

Finding

Comments vary in usefulness.

Background and Discussion

Judging the caliber of environmental compliance assessments solely on the basis of written reports is difficult. One clue helpful to an evaluation is the quality of the comments written by the assessors on finding summary sheets. Comments are insights, advice, extenuating circumstances, and other optional information offered by the assessor on a voluntary basis. Caliber of comments tends to reflect on assessors writing them as to their experience, dedication, and value added.

All comments were separated into three groups: (1) no added value (stated obvious such as label unlabeled barrel), (2) useful (information demonstrated expertise and/or could assist site personnel in environmental management; and (3) poor (information was misleading or incorrect). Writing a comment on a finding is optional. Ideally, a comment would be written when an assessor had worthwhile information to impart. In 1991, 100 percent of the comments made for two protocols were useful and, by 1994, this had increased to four protocols (Table 14) based on an analysis of comments from all reports from 1991 to 1994.

Table 14. Useful comments.

| Year of Assessment | Protocols With 100% Useful Comments |
|---------------------------|--|
| 1991 | Pesticide Management |
| | Underground Storage Tank Management |
| 1993 | Air Emission Management |
| | Wastewater Management |
| | Water Quality Management |
| 1994 | Air Emission Management |
| | Cultural Resources Management |
| | Natural Resources Management |
| | Water Quality Management |

Evaluation of comments is even more indicative of assessment strengths and weaknesses if the percentage of useful comments for each protocol is examined over the 4-year period (Appendix H). Based on this data, ERGO Phase I assessments were strongest for sharing expertise in Water Quality Management

(84 percent), Pesticides Management (72 percent), and Wastewater (61 percent); weakest for providing expertise in Cultural Resources Management (47 percent), Hazardous Materials Management (45 percent), POL Management (43 percent), and Special Pollutants Management (31 percent).

Recommendations 9 & 10

9. Continue practice of optional comments.
10. Emphasize value added to the assessment for project/facility managers when comments give specific directions, provide advice, and share expertise.

Finding

There were inconsistencies in the use of finding sheets.

Background and Discussion

Occasionally, an assessor would be inconsistent in handling information on a finding sheet: a finding of noncompliance would be mixed into a general status report on the site; critical information about an issue of noncompliance would show up in the comment section; and criteria cited would be inconsistent with the finding.

Recommendation 11

11. The designated team chief of the ERGO assessment team should check for any pattern of errors and try to assist team members needing guidance early in the assessment.

Finding

Engineering Manuals (EMs) were used in some reports as the criteria to judge major and minor findings of noncompliance.

Background and Discussion

Most likely EMs contain instructions and methods developed in response to Federal, State, and local regulation. They may give useful information on

details, especially for equipment, that is helpful to the assessor and personnel being assessed to communicate specifics necessary for attaining compliance. On the other hand, information may be judged too far removed from the regulation process to be used as criteria for judging noncompliance and triggering the ERGO corrective action process. In the military, a technical manual may be cited or information included as additional guidance, but it is not the sole basis for a finding of noncompliance.

Recommendation 12

12. A policy decision should be made on maintaining or discarding the practice of using EMs as criteria for noncompliance findings.

3 Analysis of Rating of Findings

Ratings of Findings

USACE guidance has established two finding types: positive and negative. A positive finding is made when minimum requirements have been exceeded at a facility. Actions have been taken to enhance or protect the environment that are not required by regulations. In other instances, new technology or a novel approach for satisfying regulations may be recognized by the assessor and a positive finding may be written up to recognize this accomplishment and highlight it for others to adopt.

A negative finding is made when a violation of Federal, State, local, or engineering regulations is recognized and written up against a requirement stated in the ERGO manual. Each negative finding is rated according to the following system:

- *Significant:* A finding of noncompliance requiring immediate attention. Violation poses, or is likely to pose, a direct, serious, and immediate threat to human health, safety, or the environment.
- *Major:* A finding of noncompliance requires a remedial action to bring the deficiency into compliance, but not necessarily immediate action. Major deficiencies may pose a threat to human health, safety, or the environment.
- *Minor:* A finding of noncompliance usually administrative in nature. This category may also include temporary or occasional lapses of noncompliance that are not serious enough to be classified as major.

A Good Management Practice may be an organization policy or operating procedure that stems not from a regulatory requirement, but from organizational choice. Often it covers an issue/condition that is expected to be regulated in the near future, or that is wise management to improve.

Significant, major, and minor ratings in the reports were sorted according to most common criteria identified as the basis for findings of noncompliance: (1) Code of Federal Regulations (CFR), (2) Engineering Regulation (ER), (3) State regulation, and (4) Engineering Manual (EM) (Tables 15-17). Most ratings are based on CFR criteria, but minor ratings have a large percent (39 percent) based on ERs (Table 17). State criteria can be expected to increase beyond the modest representation in ERGO Phase I. For some ratings, criteria were not identified.

Table 15. Regulation criteria used as basis for significant ratings of noncompliance.

| Year | Negative Findings | Significant Findings | CFR Basis | % | ER Basis | % | EM Basis | % | State Basis | % |
|-------|-------------------|----------------------|-----------|-----|----------|-----|----------|-----|-------------|-----|
| 1991 | 167 | 0 | 0 | 0% | 0 | 0% | 0 | 0% | 0 | 0% |
| 1992 | 804 | 11 | 8 | 73% | 0 | 0% | 0 | 0% | 3 | 27% |
| 1993 | 240 | 0 | 0 | 0% | 0 | 0% | 0 | 0% | 0 | 0% |
| 1994 | 347 | 21 | 11 | 52% | 8 | 38% | 2 | 10% | 0 | 0% |
| Total | 1558 | 32 | 19 | 59% | 8 | 25% | 2 | 6% | 3 | 9% |

Table 16. Regulation criteria used as basis for major ratings of noncompliance.

| Year | Negative Findings | Major Findings | CFR Basis | % | ER Basis | % | EM Basis | % | State Basis | % |
|-------|-------------------|----------------|-----------|-----|----------|-----|----------|----|-------------|-----|
| 1991 | 167 | 60 | 43 | 72% | 13 | 22% | 2 | 3% | 2 | 3% |
| 1992 | 804 | 317 | 197 | 62% | 75 | 24% | 0 | 0% | 45 | 14% |
| 1993 | 240 | 93 | 80 | 86% | 9 | 10% | 2 | 2% | 2 | 2% |
| 1994 | 347 | 122 | 87 | 71% | 28 | 23% | 4 | 3% | 3 | 2% |
| Total | 1558 | 592 | 407 | 69% | 125 | 21% | 8 | 1% | 52 | 9% |

Table 17. Regulation criteria used as basis for minor ratings of noncompliance.

| Year | Negative Findings | Minor Findings | CFR Basis | % | ER Basis | % | EM Basis | % | State Basis | % |
|-------|-------------------|----------------|-----------|-----|----------|-----|----------|------|-------------|-----|
| 1991 | 167 | 57 | 42 | 74% | 12 | 21% | 0 | 0% | 3 | 5% |
| 1992 | 804 | 436 | 213 | 49% | 165 | 38% | 0 | 0% | 58 | 13% |
| 1993 | 240 | 112 | 47 | 42% | 61 | 54% | 1 | 1% | 3 | 3% |
| 1994 | 347 | 139 | 81 | 58% | 54 | 39% | 0 | 0% | 4 | 3% |
| Total | 1558 | 744 | 383 | 51% | 292 | 39% | 1 | 0.1% | 68 | 9% |

Finding

Ratings were not always consistent or supported by conditions as described.

Background and Discussion

Team members are assigned protocols to assess according to their expertise and are expected to use the rating system as described. Final reports of rated findings are read and used by persons who never may have seen the site or have any familiarity with its operations. These readers may focus on summary tables of ratings, but finding information should always be present in the report that logically demonstrates why the rating was given. Consequently, ratings were evaluated and a record made of those that were questionable or unsupported by the condition described; those not recorded were considered justified by the condition as described (Appendix I). Ratings justified by the condition as described in the report greatly outnumbered the questionable and unsupported ratings. Benefit of the doubt should definitely go to the assessor for the questionable findings. Consequently, justifiable and questionable ratings were added and recorded as a percent of total findings (Table 18). Unsupported ratings cause concern, especially because of the increasing trend (Table 18).

Air Emissions, Hazardous Waste, Petroleum Oils Lubricants, Solid Waste, Special Pollutants, and Wastewater had numerous questionable and/or unsupported ratings in specific years (Table 19).

Table 18. Evaluation of finding ratings.

| Year | Total Findings | Justifiable Ratings | Questionable Ratings | Rating Sum/ Findings | Unsupported Ratings | Unsupported/ Total Findings |
|------|----------------|---------------------|----------------------|----------------------|---------------------|-----------------------------|
| 1991 | 176 | 161 | 11 | 98% | 4 | 2% |
| 1992 | 853 | 702 | 122 | 97% | 29 | 3% |
| 1993 | 250 | 207 | 34 | 96% | 9 | 4% |
| 1994 | 378 | 294 | 42 | 89% | 42 | 11% |

Table 19. Protocols with largest percentage of problem ratings.

| Protocol | Year | Questionable | % | Unsupported | % |
|---------------------------|------|--------------|-----|-------------|-----|
| Air emission | 1993 | 7/10 | 70% | | |
| Hazardous waste | 1992 | 19/94 | 20% | | |
| | 1994 | | | 9/36 | 25% |
| Petroleum oils lubricants | 1994 | 17/72 | 24% | | |
| Solid waste | 1992 | 16/69 | 23% | | |
| | 1994 | | | 7/32 | 22% |
| Special pollutants | 1992 | 7/26 | 27% | | |
| Wastewater | 1993 | 1/4 | 25% | | |
| | 1994 | 5/19 | 26% | 4/19 | 21% |

Recommendations 13, 14, & 15

13. The seriousness of rating should be thoroughly and clearly supported in the finding condition.
14. The ERGO team chief should check for consistency in application of the rating system.
15. Special attention should be applied to rating hazardous waste, solid waste, and wastewater findings during training sessions.

Finding

The rating of "Significant" is the most misused rating.

Background and Discussion

Of the 32 Significant ratings (condition poses, or is likely to pose, a direct, serious, and immediate threat to human health, safety, or the environment), only six were judged to be justified by the described condition (Table 20). Examination of major ratings did not reveal that any of them were Significants incorrectly rated. Of the 589 major ratings, only two Water Quality conditions, as described, were questionable Significants.

Table 20. Significant rating problems.

| Protocol | Number | Justified | % | Questionable | % | Not Supported | % |
|-------------------------|--------|-----------|-----|--------------|------|---------------|------|
| Air emissions | 1 | | | | | 1 | 100% |
| Hazardous materials | 2 | | | | | 2 | 100% |
| Hazardous waste | 8 | 2 | 25% | 1 | 13% | 5 | 63% |
| Pesticides | 3 | 1 | 33% | 2 | 67% | | |
| Petrol. oils lubricants | 9 | 2 | 22% | 2 | 22% | 5 | 56% |
| Solid waste | 3 | | | 2 | 67% | 1 | 33% |
| Special pollutants | 1 | | | 1 | 100% | | |
| Wastewater | 5 | 1 | 20% | 1 | 20% | 3 | 60% |
| Total | 32 | 6 | 19% | 9 | 28% | 17 | 53% |

Recommendations 16 & 17

1. Guidance should be issued emphasizing the seriousness of a significant rating and importance of a strong, clear supporting condition.

2. Training should address the responsible use of a significant rating and provide examples.

Finding

Some errors in ratings of major tend to be too severe and this trend appears to be increasing.

Background and Discussion

Most major and minor ratings appear to be correctly assigned. Ratings that are questionable or unsupported as described in the finding condition tend to err more in being too severe for major ratings (Table 21). This suggests conscientiousness occasionally may be excessive, especially in ratings for Air Emissions, Natural Resources, Solid Waste, and Special Pollutants protocols (Appendix J).

Minor ratings were especially well applied and balanced with only 1 percent unsupported for being severe and 1 percent for being lenient (Table 22).

Table 21. Possible errors in ratings of major.

| Year | Total Major Ratings | Severity Questionable | Severity Unsupported | Percent Unsupported | Lenient | Percent Lenient |
|-------|---------------------|-----------------------|----------------------|---------------------|---------|-----------------|
| 1991 | 60 | 7 | 0 | 0% | 0 | 0% |
| 1992 | 317 | 52 | 10 | 3% | 2 | 0.6% |
| 1993 | 93 | 20 | 9 | 10% | 0 | 0% |
| 1994 | 122 | 29 | 17 | 14% | 0 | 0% |
| Total | 592 | 108 | 36 | 6% | 2 | 0.3% |

Table 22. Possible errors in ratings of minor.

| Year | Minor Ratings | Severity? | Severity Unsupport. | Percent Unsupport. | Leniency? | Leniency Unsupport. | Percent Unsupport. |
|-------|---------------|-----------|---------------------|--------------------|-----------|---------------------|--------------------|
| 1991 | 57 | 10 | 0 | 0% | 10 | 1 | 2% |
| 1992 | 436 | 11 | 3 | 0.7% | 20 | 4 | 1% |
| 1993 | 112 | 2 | 0 | 0% | 10 | 0 | 0% |
| 1994 | 139 | 0 | 2 | 1% | 7 | 2 | 1% |
| Total | 744 | 23 | 5 | 1% | 47 | 7 | 1% |

Recommendation 18

18. Training and instructions to assessment teams should stress conditions necessary to warrant a rating of "Major."

Finding

Confusion about what constitutes a Good Management Practice (GMP) was common.

Background and Discussion

A GMP may be an organization policy or operating procedure that stems not from a regulatory requirement, but from organizational choice. Often it covers an issue or condition that is expected to be regulated in the near future or that is wise management to improve. GMPs may be judged as positive or negative. However, they cannot be considered deficiencies because they are not based on regulations. Although GMP is itself a rating, some GMPs were also rated as major and minor deficiencies; many were treated as noncompliance findings in the corrective action process. GMPs were included in some summary tables, but were omitted from report summaries in other instances. Some reports devoted a separate chapter to GMPs with a separate summary table.

Recommendations 19 & 20

19. Policy should be established defining the use, reporting, and treatment of a GMP.
20. Corrective actions for significant, major, and minor findings of noncompliance should take precedence over devoting time and resources to implementing GMPs.

Finding

A few findings rated GMP were actually regulatory findings of noncompliance.

Background and Discussion

A few GMPs were definitely regulatory findings of noncompliance (minor finding of noncompliance) misclassified. Additional GMPs were questionable regulatory findings as described (Table 23). Description given in the condition observed

was not clear enough in these instances to distinguish if finding was a GMP or a regulatory finding of noncompliance. A GMP rating should not be used as a lesser degree of a minor rating. A GMP is distinct from regulatory findings, although, like a regulatory finding, it may be negative or positive. In six instances, it was questionable that a negative GMP finding was justified because the condition as described suggested all was being managed well.

Table 23. Errors in rating of GMP.

| Year | Number of GMPs | Regulatory | Percent Regulatory | Definite Regulatory | Percent Definite Regulatory | Negative | Percent Negative |
|-------|----------------|------------|--------------------|---------------------|-----------------------------|----------|------------------|
| 1991 | 32 | 1 | 3% | 0 | 0% | 0 | 0% |
| 1992 | 137 | 18 | 13% | 8 | 6% | 2 | 1% |
| 1993 | 33 | 2 | 6% | 1 | 3% | 4 | 12% |
| 1994 | 50 | 0 | 0% | 2 | 4% | 0 | 0% |
| Total | 252 | 21 | 8% | 12 | 5% | 6 | 2% |

Recommendation 21

21. Training and instructions to ERGO assessment teams should stress unique attributes of a GMP that distinguishes it from a regulatory finding of noncompliance.

Finding

Positive ratings were awarded for merely being in compliance.

Background and Discussion

Positive ratings are essential to a successful environmental compliance assessment program to recognize accomplishments and balance the negative aspect of findings of noncompliance. They should be awarded for actions that have exceeded compliance standards, in recognition of innovative solutions to old problems of noncompliance, and for proactive strategies for maintaining compliance. Using positive ratings for merely being in compliance reflects poorly on a program suggesting that the norm is something less than being in compliance. Conditions written for several positive ratings were questionable; in some instances a positive rating was not supported (Table 24).

Table 24. Errors in ratings of positive.

| Year | Total Positive Ratings | Questionable | Unsupported | Percentage of Unsupported |
|-------|------------------------|--------------|-------------|---------------------------|
| 1991 | 21 | 0 | 2 | 10% |
| 1992 | 49 | 6 | 4 | 8% |
| 1993 | 10 | 0 | 2 | 20% |
| 1994 | 31 | 1 | 5 | 16% |
| Total | 111 | 7 | 13 | 12% |

Strongest showing for positive accomplishment and/or expertise to recognize accomplishment was in the Natural Resources protocol. Of the 111 findings made in Natural Resources, 12 were positive (11 percent) and all of them were well supported in their write-ups (Appendix K). At the other extreme, of the 174 findings made in Hazardous Waste, only 11 were positive and only 55 percent of the positive findings were well supported by information provided on the finding sheet.

Recommendations 22 & 23

22. Positive findings should be an integral part of ERGO assessments.
23. Training and instructions should cover standards for awarding positive ratings to ensure their correct and consistent use.

Finding

Positive findings occasionally were rated minor or major.

Background and Discussion

Adding a minor or major rating to a positive finding is extremely subjective and adds nothing to the purpose of having positive findings except potential for disagreement. Rating would use up assessor time that could be better spent.

Recommendation 24

24. Positive findings should not be rated.

Finding

New rating categories for findings were created by assessment teams.

Background and Discussion

Ratings of "neutral minor" and "neutral major" were used by a team. This rating was used when a finding was questioned and, apparently, some doubt existed. The addition of new local ratings or the changing of definitions jeopardizes consistency.

Recommendation 25

25. New rating categories should be prohibited unless approved by HQUSACE.

4 Evaluation of Corrective Actions

Corrective Action Plans

Corrective actions plans are critical to a successful environmental compliance assessment program. Unless an organization initiates corrective actions immediately after an assessment and tracks the actions until a state of compliance is met for each finding of noncompliance, performing a compliance assessment is not cost effective. Awareness of deficiencies with lack of serious purpose in correcting them increases an organization's vulnerability to notices of violation, fines, and negative public relations.

Finding

Some final reports lack complete corrective action plans.

Background and Discussion

Addressing the development of policy for corrective actions plans is difficult until completion of a large enough sample of baseline assessments to provide Corps organization with information on the extent, type, and cost of noncompliance issues. However, initiation and experimentation with the assessment process during ERGO Cycle I should have been accompanied with equal attention to the corrective action process. The number of corrective actions for findings of noncompliance do show a favorable trend increasing each year during Phase I (Table 25), but the goal should be as near 100 percent as possible. The smallest percent of corrective actions were for Solid Waste findings (39 percent); the largest percent of corrective actions were for Pesticide findings of noncompliance (67 percent) (Appendix L).

Table 25. Trend in corrective actions.

| Assessment year | Number of Negative Findings | Number of Corrective Actions | Percentage |
|-----------------|-----------------------------|------------------------------|------------|
| 1991 | 243 | 70 | 29% |
| 1992 | 804 | 392 | 49% |
| 1993 | 248 | 136 | 57% |
| 1994 | 347 | 245 | 71% |

Recommendation 26

26. Firm policy should be issued that every finding of noncompliance must have a corrective action that is tracked until compliance is achieved.

Finding

Some corrective actions were vague; either no completion date had been cited, or a projected completion date was listed as several years in the future.

Background and Discussion

Vague corrective actions do not create an impression of serious intent. Projected dates for completion of corrective actions beyond 2 years, unless major construction or expenditure is involved, adds to this negative impression. When these two shortcomings are joined, resulting relationship (more vague a corrective action, the longer it takes to execute) does not suggest competence. No target date was provided for 22 percent of the corrective actions.

Corrective actions were examined and sorted into six groups (Table 26):

1. Corrective action completed and date of completion reported (CD).
2. No date given, but suggestion is that corrective action has been completed (SC).
3. Corrective action stated to be in progress or ongoing (ON).
4. Projected date given for completion of corrective action (PD).
5. No date given for described corrective action (ND).
6. Statement made that it had been determined that corrective action was unnecessary (AU).

Table 26. Grouping of corrective actions.

| Yr | # CA | 1 CD | % CD | 2 SC | % SC | 3 ON | % ON | 4 PD | % PD | 5 ND | % ND | 6 AU | % AU |
|-------|------|------|------|------|------|------|------|------|------|------|------|------|------|
| 1991 | 59 | 26 | 44% | 0 | 0% | 3 | 5% | 29 | 49% | 0 | 0% | 1 | 2% |
| 1992 | 392 | 140 | 36% | 17 | 4% | 36 | 9% | 64 | 16% | 100 | 26% | 35 | 9% |
| 1993 | 136 | 30 | 22% | 16 | 12% | 6 | 4% | 45 | 33% | 37 | 27% | 1 | 1% |
| 1994 | 245 | 25 | 10% | 54 | 22% | 11 | 4% | 100 | 41% | 50 | 20% | 7 | 4% |
| Total | 832 | 221 | 27% | 87 | 10% | 56 | 7% | 238 | 29% | 187 | 22% | 44 | 5% |

Recommendations 27, 28, 29, and 30

27. If completed, corrective action closing date should be stated.
28. Projected completion date should be provided for ongoing and in-progress corrective actions.
29. Corrective actions scheduled for completion over 2 years in the future should contain sufficient information to justify protraction.
30. Policy should be established as to who has authority to determine that no corrective action is necessary because this determination voids an assessors finding of noncompliance.

Overview of Protocols

Analyses of finding write-ups, rating of findings, and corrective actions produced considerable information about each of the 12 protocols of the ERGO Phrase I assessments. To pool the information for each protocol, each protocol was ranked for six of the study elements: (1) well written findings, (2) sufficient information, (3) fewest criteria problems, (4) useful comments, (5) well supported ratings, and (6) corrective actions (Table 27). For example, UST (Underground Storage Tank) protocol had the highest percent of well written finding write-ups and was ranked first (1). When ties occurred, the same number was given to all protocols with the same rank. Consequently, Solid Waste Management protocol, which had the smallest percent of well written finding write-ups, ranked seventh.

Table 27. Protocol rankings.

| Protocol | Well Written | Sufficient Information | Fewest Criteria Problems | Useful Comments | Supported Ratings | Corrective Actions |
|---------------------------|--------------|------------------------|--------------------------|-----------------|-------------------|--------------------|
| Air emissions | 6 | 10 | 2 | 8 | 6 | 9 |
| Cultural resources | 6 | 1 | 9 | 9 | 3 | 2 |
| Hazardous materials | 2 | 4 | 7 | 10 | 3 | 7 |
| Hazardous waste | 4 | 10 | 3 | 5 | 8 | 4 |
| Natural resources | 4 | 2 | 5 | 7 | 4 | 5 |
| Pesticides | 6 | 5 | 4 | 2 | 2 | 1 |
| Petroleum oil lubricants | 5 | 9 | 5 | 11 | 5 | 3 |
| Solid waste | 7 | 10 | 6 | 6 | 7 | 10 |
| Special pollutants | 5 | 6 | 7 | 12 | 5 | 4 |
| Underground storage tanks | 1 | 8 | 8 | 4 | 1 | 8 |
| Wastewater | 4 | 7 | 10 | 3 | 5 | 10 |
| Water quality | 3 | 3 | 1 | 1 | 2 | 6 |

Each protocol has a different rating for most of the six elements. For example, Air Emissions has rankings of 6, 10, 2, 8, 6, and 3. By totaling the ranking for the six elements for each protocol and dividing by six, the average ranking was obtained (Table 28).

Table 28. Protocol rankings based on averages.

| Protocol | Total of Six Ratings | Ranking Average |
|-----------------------------|----------------------|-----------------|
| Water quality | 16 | 2.7 |
| Pesticides | 20 | 3.3 |
| Natural resources | 27 | 4.5 |
| Cultural resources | 30 | 5.0 |
| Underground storage tanks | 30 | 5.0 |
| Hazardous materials | 33 | 5.5 |
| Hazardous waste | 34 | 5.7 |
| Petroleum, oils, lubricants | 38 | 6.3 |
| Special pollutants | 39 | 6.5 |
| Wastewater | 39 | 6.5 |
| Air emissions | 41 | 6.8 |
| Solid waste | 46 | 7.7 |

Results suggest that the ERGO program is strongest in water quality, pesticides, and natural resources because these protocols had the most consistent high rankings for elements considered. Clustering of the averages shows that no protocol was consistently poor, because rankings varied from element to element. Perhaps this clustering of averages can be considered a good sign that assessments are being done well overall. If solid waste, which has the lowest ranking (7.7), instead had an average around 11, a distinct problem would be indicated for that protocol Corps-wide.

5 Analysis of Report Format and Content

Format and Content

Finding

Report covers could be more informative.

Background and Discussion

Many reports examined did not have covers, possibly because they were copies. Examination of covers, or headings on reports without covers, showed some divergence in amount and type of information provided. Trends reflected in the information presented on covers and front page headings suggest including the name of the district has been found to be useful (Table 29). In the final year of Phase I, the practice of including the state of the project or facility assessed became more common (56 percent).

Table 29. Information on report covers.

| Year | ERGO ID | % ID | Site Name | % Site | State | % State | District | % District |
|-------|---------|------|-----------|--------|-------|---------|----------|------------|
| 1991 | 5 | 71% | 6 | 86% | 1 | 14% | 4 | 57% |
| 1992 | 9 | 69% | 11 | 85% | 2 | 15% | 7 | 54% |
| 1993 | 4 | 80% | 4 | 80% | 0 | 0% | 4 | 80% |
| 1994 | 7 | 78% | 8 | 89% | 5 | 56% | 7 | 78% |
| Total | 25 | 74% | 29 | 85% | 8 | 24% | 22 | 65% |

Of the 26 reports submitted with covers, all but one of them included a date and two of them had two dates. The problem is identifying what event in the ERGO process the date reflects. Greatest confusion occurs in the use of the term "final report." In some instances, the term refers to a final report of the assessment findings and in other instances, it denotes a final report encompassing assessment findings and corrective actions (Table 30). Fortunately, there is a positive trend towards identifying cover dates. However, most reports had to be studied to identify significance of the date on the cover (Appendix M). An ideal cover for a final report that includes corrective actions would probably contain several identified dates (Appendix N).

Table 30. Identification of dates on report covers.

| Year | Reports with Covers | Date Identified Assessment | Possible Assessment | Date Identified CAP | Date Identified Final | Possible Final |
|--------------------------------|---------------------|----------------------------|---------------------|---------------------|-----------------------|----------------|
| 1991 | 4 | 0 | 1 | 0 | 0 | 3 |
| 1992 | 9 | 2 | 1 | 0 | 3 | 2 |
| 1993 | *5 | 0 | 0 | 2 | 1 | 2 |
| 1994 | *8 | 1 | 1 | 2 | 3 | 1 |
| * More than one date per cover | | | | | | |

Recommendations 31 & 32

31. At a minimum, the report cover should identify ERGO, the project and facility name, and the district.
32. Date(s) on report should be identified as to the stage in the ERGO process to which they belong.

Finding

Final ERGO reports vary greatly in format and content.

Background and Discussion

HQUSACE does not require a standard report format. The majority of reports used actual finding sheets as report chapter pages on findings of noncompliance. Other reports incorporated findings sheets as an appendix and wrote up findings of noncompliance in a format similar to fact sheets. A few reports presented findings in a text format without providing finding sheets for reference. In one case, information was omitted to the extent that only a vague mention of noncompliance remained in the text. Corrective action plans, when included, were sometimes a separate chapter, a separate document, or an addition to the original finding sheet. If a final report is requested through the Freedom of Information Act (FOIA), an organization wants to see a clear indication that a finding of noncompliance has been corrected or is scheduled to be corrected in a reasonable amount of time.

Recommendations 33 & 34

33. Well designed finding sheets could be used as the report section/chapter on findings of noncompliance because this has been successfully demonstrated to be an efficient format.

34. Corrective actions should be incorporated on the finding sheet.

Finding

Personal names were included in final reports.

Background and Discussion

Several reports included an assignment of responsibility, especially for corrective action, using office designations, but a few reports mentioned personal names. Final ERGO reports can be requested by any person or organization under the Freedom of Information Act. Singling out an individual may make them vulnerable to reactionaries. Using an office designation avoids this problem, but clearly denotes responsibility within the organization for correcting a finding of noncompliance.

Recommendation 35

35. Assign responsibility for corrective actions using impersonal office designations.

Finding

Reports done by contractors are frequently verbose.

Background and Discussion

Many reports done by contractors demonstrate excellent technical knowledge in identifying and writing findings, but sometimes lack the insight Corps assessors have for details specific to Corps compliance problems.

Recommendations 36 & 37

36. Include at least one Corps person on a contract assessment team, if possible.

37. Evaluation and monitoring of contractor assessments should discourage listings of "quantity," which are repetitious and tend to obscure priorities for corrective action.

Finding

Pictures included in reports frequently had insufficient captions, making it difficult or impossible to identify the condition(s) of noncompliance represented.

Background and Discussion

A few reports included colored pictures of findings of noncompliance in an appendix. However, lack of labels and incompleteness in description diminished their usefulness. One school of thought is that photographing adds tension to the assessment process and may curtail responsiveness during the interview process. Instead of an atmosphere of support, the use of photographs sets a tone of critical inspection. Another school of thought is that a picture clarifies the finding of noncompliance and promotes management attention to corrective action.

Recommendation 38

38. Labeling and description of photographs should be required to justify the time and expense invested in them.

6 Conclusion and Recommendations

This analysis evaluated a sample of ERGO Cycle I assessment and correction action reports from throughout the Corps to identify process and product strengths and weaknesses, and made recommendations that will improve the consistency and effectiveness of succeeding ERGO Cycles.

It is recommended that the Corps of Engineers establish minimal policy and guidance necessary to improve the consistency of the ERGO process, but continue to avoid an elaborate reporting process. The organization should demonstrate a commitment to tracking corrective actions until their completion to decrease vulnerability from outside inspections, enforcement actions, and negative publicity. Future training should concentrate on weaknesses identified that should have positive results in the field and for ERGO Cycle II. Specific recommendations are that:

1. Attention to writing condition(s) observed for a finding should continue to focus on clarity and factual information.
2. Finding conditions should include sample size, descriptions of amounts, and other indicators of the extent of the condition of noncompliance.
3. Designated team chief of the ERGO assessment team should stress the importance of sufficient information in finding conditions and check early in the assessment to see if appropriate information is being included.
4. Instructions to assessors should stress the importance of entering specific site locations on finding sheets.
5. Every finding of noncompliance should include citation(s) of statutory/regulatory criteria used as the basis for the finding.
6. Every finding of noncompliance should include pertinent text of statutory/regulatory citation used as the criterion or, if too lengthy, a paraphrase to illustrate the reason for the finding.

7. If the criteria has more than one citation, the text of citation with greatest priority should be included in its entirety, or should be well paraphrased.
8. Policy should be established as to priority assigned to criteria, such as: (a) Federal regulation, (b) State regulation, (c) Engineering regulation, (d) DOD Directive, (e) Engineering Manual, or some other similar scheme.
9. Continue the practice of soliciting optional comments.
10. Emphasize the value added to the assessment for project/facility managers when comments give specific directions, provide advice, and share expertise.
11. The designated team chief of an ERGO assessment team should check for any pattern of errors and try to assist team members needing guidance early in the assessment.
12. Policy decision should be made on maintaining or discarding the practice of using Engineering Manuals as criteria for noncompliance findings.
13. The seriousness of rating should be thoroughly and clearly supported in the finding condition.
14. The ERGO team chief should check for consistency in application of the rating system.
15. Special attention should be applied to rating hazardous waste, solid waste, and wastewater findings during training sessions.
16. Guidance should be issued emphasizing the seriousness of a significant rating and importance of a strong, clear, supporting condition.
17. Training should address the responsible use of a significant rating and provide examples.
18. Training and instructions to assessment teams should stress conditions necessary to warrant a rating of "Major."
19. Policy should be established defining the use, reporting, and treatment of a "Good Management Practice" (GMP).

20. Corrective actions for significant, major, and minor findings of noncompliance should take precedence over devoting time and resources to implementing GMPs.
21. Training and instructions to ERGO assessment teams should stress unique attributes of a GMP that distinguish it from a regulatory finding of noncompliance.
22. Positive findings should be an integral part of ERGO assessments.
23. Training and instructions should cover standards for awarding positive ratings to ensure their correct and consistent use.
24. Positive findings should not be rated.
25. New rating categories should be prohibited unless approved by HQUSACE.
26. Firm policy should be issued stating that every finding of noncompliance must have a corrective action that is tracked until compliance is achieved.
27. If completed, corrective action closing date should be stated.
28. Projected completion date should be provided for ongoing and in-progress corrective actions.
29. Corrective actions scheduled for completion over 2 years in the future should contain sufficient information to justify protraction.
30. Policy should be established that specifies who had authority to determine that no corrective action is necessary because this determination voids an assessors finding of noncompliance.
31. At a minimum, report cover should identify ERGO, project or facility name, and district.
32. Date(s) on report should be identified as to stage in ERGO process.
33. Well designed finding sheets could be used as the report section/chapter on findings of noncompliance because this has been successfully demonstrated to be an efficient format.

34. Corrective actions should be incorporated on the finding sheet.
35. Assign responsibility for corrective actions using impersonal office designations.
36. Include at least one Corps person on a contract assessment team, if possible.
37. Evaluation and monitoring of contractor assessments should discourage "quantity," which is repetitious and tends to obscure priorities for corrective action.
38. Labeling and description of photographs should be required to justify time and expense invested in them.

Appendix A: Evaluation Sheet Elements

Design of the evaluation sheet used for each report included the following elements:

- Corps District
- Project or Facility
- Location of Site
- Outgrant Sites
- Date of Assessment
- Date of Corrective Action Plan
- Date of Final Assessment Report
- Cover Type
- Manual Used
- Number of Protocols Assessed
- Team Size
- Report Index
- Executive Summary
- Objectives of Assessment
- Summary Table of Findings
- Separate Chapter for Good Management Practices

- Corrective Action Plan
- Signature Sheet Including Titles of Signers and Dates of Signatures
- Number of Significant Findings Based on Federal Regulations
- Number of Significant Findings Based on Engineering Regulations
- Number of Significant Findings Based on State Regulations
- Number of Major Findings Based on Federal Regulations
- Number of Major Findings Based on Engineering Regulations
- Number of Major Findings Based on State Regulations
- Number of Minor Findings Based on Federal Regulations
- Number of Minor Findings Based on Engineering Regulations
- Number of Minor Findings Based on State Regulations
- Number of Negative Good Management Findings
- Number of Positive Findings
- Evaluation of Finding Write-ups
- Condition Statements
- Criteria Correctness and Completeness
- Comment Value
- Appropriateness of Ratings
- Corrective Actions

Appendix B: Coding for Major Heading Elements

Coding was created for each of the major headings of the evaluation design as follows:

Comments

| | | |
|-----|---|---------------------------------------|
| CIF | = | Comment Included in Finding Condition |
| P | = | Poor (Misleading or Incorrect) |
| U | = | Useful |

Corrective Actions

| | | |
|-------|---|--|
| CAA | = | Completed Action During Assessment |
| CD | = | Completion Date |
| CDD | = | Completion Date Day |
| CDM | = | Completion Date Month |
| CDY | = | Completion Date Year |
| DNAN | = | Determined No Action Necessary |
| NA | = | Not Appropriate |
| ND | = | Not Date for Corrective Action |
| NDSAC | = | No Date Suggest Action Completed |
| ON | = | Ongoing, Corrective Action in Progress |

| | | |
|-----|---|--|
| PD | = | Projected Date for Completion of Corrective Action |
| PDD | = | Projected Date Day |
| PDM | = | Projected Date Month |
| PDY | = | Projected Date Year |
| VND | = | Vague Corrective Action and No Date |

Criteria

| | | |
|------|---|---------------------|
| IC | = | Incomplete Criteria |
| NC | = | No Criteria |
| NCIT | = | No Citation |
| PC | = | Poor Criteria |

Findings

| | | |
|------|---|---|
| CFI | = | Combined Findings Incorrectly |
| II | = | Insufficient Information |
| IIss | = | Insufficient Information on sample size |
| NSL | = | No Site Location |
| OVL | = | Overlap in findings |
| PWF | = | Poorly Written Finding |
| PWFr | = | Poorly Written Finding rambles |

Ratings

| | | |
|----|---|---------------------------------------|
| DU | = | Disagree Rating Should Be More Severe |
|----|---|---------------------------------------|

| | | |
|-----|---|---------------------------------------|
| DD | = | Disagree Rating Should Be Less Severe |
| NF | = | Not a Finding of Noncompliance |
| NP | = | Not a Positive Finding |
| NR | = | No Rating |
| PN | = | Positive Rated as Negative |
| RMP | = | Rating of Good Management Practice |
| UMP | = | Used Management Practice as a Rating |
| US | = | Unsupported by Condition Described |
| ?D | = | Question Rating Too Severe |
| ?NF | = | Question Finding of Noncompliance |
| ?NP | = | Question Positive Finding |
| ?U | = | Question Rating Not Severe Enough |

Appendix C: Information Included on a Finding Sheet

Example of information included on a finding sheet.

ERGO INDIVIDUAL FINDING SHEET

Project: Clear River, Oregon **Manual Edition:** April 93

Section: Hazardous Waste **Question Number:** 4-5

Type of Finding: Negative

Rating: Major

Location: Maintenance Trailer

Repeat Finding: No

Basis of Finding: 40 CFR 261/262

Condition: Two 5- gallon cans containing 2,4-D or related compound and two 2.5-gallon pesticide containers have been abandoned behind the trailer. The containers have been exposed to the elements for a substantial amount of time. One of the 2,4-D cans has a small hole in the lid.

Criteria: Hazardous waste must be properly identified, managed, and disposed.

Prepared by:

Date:

Comments: Transfer to new containers and use as labels instruct, or put in proper containers as a hazardous waste for proper storage, transportation, and disposal.

Corrective Action: Transferred material to proper container. Took to District #4 Shop for proper storage.

Responsible for Correction: Clear River Project Office

Date of Correction: 02-17-95

Appendix D: Protocols and Years With Poorly Written Findings

List of protocols and years with poorly written findings; number of poorly written findings expressed as a percentage of total number of written findings for year. Years not included had no poorly written findings.

| Protocol | Year | Number of Findings | Number Poorly Written | Percent |
|---------------------------|------|--------------------|-----------------------|---------|
| Air Emissions | 1991 | 10 | 1 | 10% |
| | 1992 | 31 | 3 | 10% |
| Cultural Resources | 1992 | 52 | 5 | 10% |
| | 1994 | 22 | 2 | 9% |
| Hazardous Materials | 1991 | 28 | 1 | 4% |
| | 1992 | 163 | 10 | 6% |
| | 1994 | 76 | 2 | 3% |
| Hazardous Waste | 1991 | 10 | 1 | 10% |
| | 1992 | 94 | 16 | 17% |
| | 1993 | 34 | 3 | 9% |
| | 1994 | 36 | 1 | 3% |
| Natural Resources | 1992 | 70 | 11 | 16% |
| | 1994 | 25 | 1 | 4% |
| Pesticides | 1992 | 109 | 14 | 13% |
| Petroleum Oil Lubricants | 1991 | 28 | 1 | 4% |
| | 1992 | 127 | 11 | 9% |
| | 1994 | 72 | 3 | 4% |
| Solid Waste | 1991 | 14 | 1 | 7% |
| | 1992 | 69 | 3 | 4% |
| | 1993 | 20 | 1 | 5% |
| | 1994 | 32 | 2 | 6% |
| Special Pollutants | 1992 | 26 | 2 | 8% |
| | 1994 | 12 | 1 | 8% |
| Underground Storage Tanks | 1994 | 22 | 1 | 5% |
| Wastewater | 1994 | 19 | 1 | 5% |
| Water Quality | 1992 | 39 | 2 | 5% |
| | 1994 | 18 | 1 | 6% |

Appendix E: Protocols and Years With Exceptionally Well Written Findings

Protocols and years with exceptionally well written findings; number of well written findings expressed as a percentage of number of total written findings for year.

| Protocol | Year | Number of Findings | Number Well Written | Percent |
|--------------------------|------|--------------------|---------------------|---------|
| Air Emission | 1991 | 10 | 3 | 30% |
| | 1992 | 31 | 2 | 6% |
| | 1994 | 11 | 1 | 9% |
| Cultural Resources | 1991 | 16 | 8 | 50% |
| | 1992 | 52 | 2 | 4% |
| | 1993 | 16 | 1 | 6% |
| | 1994 | 22 | 1 | 5% |
| Hazardous Materials | 1991 | 28 | 9 | 32% |
| | 1992 | 163 | 29 | 18% |
| | 1993 | 55 | 7 | 13% |
| | 1994 | 76 | 14 | 18% |
| Hazardous Waste | 1991 | 10 | 1 | 10% |
| | 1992 | 94 | 9 | 10% |
| | 1993 | 34 | 11 | 32% |
| | 1994 | 36 | 4 | 11% |
| Natural Resources | 1991 | 11 | 7 | 64% |
| | 1992 | 70 | 4 | 8% |
| | 1994 | 25 | 4 | 16% |
| Pesticides | 1991 | 15 | 2 | 13% |
| | 1992 | 109 | 10 | 9% |
| | 1993 | 44 | 5 | 11% |
| | 1994 | 33 | 6 | 18% |
| Petroleum Oil Lubricants | 1991 | 28 | 7 | 25% |
| | 1992 | 127 | 15 | 12% |
| | 1993 | 35 | 6 | 17% |
| | 1994 | 72 | 5 | 7% |
| Solid Waste | 1991 | 14 | 7 | 50% |
| | 1992 | 69 | 4 | 6% |
| | 1993 | 20 | 2 | 10% |
| | 1994 | 32 | 1 | 3% |
| Special Pollutants | 1991 | 9 | 1 | 11% |
| | 1992 | 26 | 2 | 8% |

| Protocol | Year | Number of Findings | Number Well Written | Percent |
|---------------------------|------|--------------------|---------------------|---------|
| Underground Storage Tanks | 1992 | 20 | 10 | 50% |
| | 1993 | 14 | 4 | 29% |
| | 1994 | 22 | 3 | 14% |
| Wastewater | 1991 | 10 | 2 | 20% |
| | 1992 | 53 | 7 | 13% |
| | 1993 | 4 | 1 | 25% |
| | 1994 | 19 | 2 | 11% |
| Water Quality | 1991 | 9 | 3 | 33% |
| | 1992 | 39 | 5 | 13% |
| | 1994 | 18 | 3 | 17% |

Appendix F: Finding Conditions With Insufficient Information According to Protocol

Finding conditions with insufficient information according to protocol; number of findings with insufficient information expressed as a percentage of negative findings.

Air Emissions—Cultural Resources

| Negative Findings | Insufficient Information | Percentage for Year | Negative Findings | Insufficient Information | Percentage for Year |
|-------------------|--------------------------|---------------------|-------------------|--------------------------|---------------------|
| 9 | 4 | 9% 1991 | 16 | 0 | 0% 1991 |
| 30 | 1 | 3% 1992 | 51 | 3 | 6% 1992 |
| 10 | 8 | 80% 1993 | 16 | 0 | 0% 1993 |
| 11 | 2 | 18% 1994 | 22 | 1 | 5% 1994 |

Hazardous Materials—Hazardous Waste

| Negative Findings | Insufficient Information | Percentage for Year | Negative Findings | Insufficient Information | Percentage for Year |
|-------------------|--------------------------|---------------------|-------------------|--------------------------|---------------------|
| 27 | 2 | 7% 1991 | 9 | 1 | 10% 1991 |
| 152 | 23 | 15% 1992 | 88 | 31 | 35% 1992 |
| 53 | 9 | 17% 1993 | 33 | 3 | 9% 1993 |
| 71 | 8 | 11% 1994 | 33 | 5 | 15% 1994 |

Natural Resources—Pesticides

| Negative Findings | Insufficient Information | Percentage for Year | Negative Findings | Insufficient Information | Percentage for Year |
|-------------------|--------------------------|---------------------|-------------------|--------------------------|---------------------|
| 11 | 1 | 9% 1991 | 14 | 6 | 43% 1991 |
| 65 | 3 | 15% 1992 | 103 | 17 | 17% 1992 |
| 5 | 1 | 20 % 1993 | 43 | 7 | 16% 1993 |
| 18 | 0 | 0% 1994 | 33 | 0 | 0% 1994 |

Petroleum Oil Lubricants—Solid Waste

| Negative Findings | Insufficient Information | Percentage for Year | Negative Findings | Insufficient Information | Percentage for Year |
|-------------------|--------------------------|---------------------|-------------------|--------------------------|---------------------|
| 24 | 3 | 13% 1991 | 13 | 2 | 15% 1991 |
| 116 | 18 | 16% 1992 | 68 | 14 | 21% 1992 |
| 32 | 11 | 34% 1993 | 18 | 9 | 50% 1993 |
| 69 | 25 | 36% 1994 | 27 | 7 | 26% 1994 |

Special Pollutants—Underground Storage Tanks

| Negative Findings | Insufficient Information | Percentage for Year | Negative Findings | Insufficient Information | Percentage for Year |
|-------------------|--------------------------|---------------------|-------------------|--------------------------|---------------------|
| 9 | 2 | 22% 1991 | 16 | 8 | 50% 1991 |
| 22 | 6 | 27% 1992 | 19 | 1 | 5% 1992 |
| 8 | 1 | 13% 1993 | 14 | 4 | 29% 1993 |
| 11 | 0 | 0% 1994 | 21 | 1 | 5% 1994 |

Wastewater—Water Quality

| Negative Findings | Insufficient Information | Percentage for Year | Negative Findings | Insufficient Information | Percentage for Year |
|-------------------|--------------------------|---------------------|-------------------|--------------------------|---------------------|
| 10 | 1 | 10% 1991 | 9 | 2 | 22% 1991 |
| 52 | 9 | 17% 1992 | 38 | 5 | 13% 1992 |
| 3 | 1 | 33% 1993 | 5 | 1 | 20% 1993 |
| 16 | 4 | 25% 1994 | 15 | 0 | 0% 1994 |

Appendix G: Criteria Problems According to Protocol

Criteria problems according to protocol; number of criteria problems expressed as a percentage of negative findings for each year.

Air Emissions—Cultural Resources

| Negative Findings | Criteria Problems | Percentage for Year | Negative Findings | Criteria Problems | Percentage for Year |
|-------------------|-------------------|---------------------|-------------------|-------------------|---------------------|
| 9 | 0 | 0% 1991 | 16 | 8 | 50% 1991 |
| 30 | 1 | 3% 1992 | 51 | 4 | 8% 1992 |
| 10 | 0 | 0% 1993 | 16 | 0 | 0% 1993 |
| 11 | 2 | 18% 1994 | 22 | 7 | 32% 1994 |

Hazardous Materials—Hazardous Waste

| Negative Findings | Criteria Problems | Percentage for Year | Negative Findings | Criteria Problems | Percentage for Year |
|-------------------|-------------------|---------------------|-------------------|-------------------|---------------------|
| 27 | 9 | 33% 1991 | 9 | 1 | 9% 1991 |
| 152 | 13 | 9% 1992 | 88 | 3 | 3% 1992 |
| 53 | 5 | 9% 1993 | 33 | 3 | 9% 1993 |
| 71 | 4 | 6% 1994 | 33 | 2 | 6% 1994 |

Natural Resources—Pesticides

| Negative Findings | Criteria Problems | Percentage for Year | Negative Findings | Criteria Problems | Percentage for Year |
|-------------------|-------------------|---------------------|-------------------|-------------------|---------------------|
| 11 | 1 | 9% 1991 | 14 | 1 | 7% 1991 |
| 65 | 3 | 5% 1992 | 103 | 2 | 2% 1991 |
| 5 | 0 | 0% 1993 | 43 | 3 | 7% 1992 |
| 18 | 4 | 22% 1994 | 33 | 8 | 24% 1993 |

Petroleum Oil Lubricants—Solid Waste

| Negative Findings | Criteria Problems | Percentage for Year | Negative Findings | Criteria Problems | Percentage for Year |
|-------------------|-------------------|---------------------|-------------------|-------------------|---------------------|
| 24 | 4 | 17% 1991 | 13 | 4 | 31% 1991 |
| 116 | 8 | 7% 1992 | 68 | 2 | 3% 1992 |
| 32 | 2 | 6% 1993 | 18 | 1 | 6% 1993 |
| 69 | 5 | 7% 1994 | 27 | 4 | 15% 1994 |

Special Pollutants—Underground Storage Tanks

| Negative Findings | Criteria Problems | Percentage for Year | Negative Findings | Criteria Problems | Percentage for Year |
|-------------------|-------------------|---------------------|-------------------|-------------------|---------------------|
| 9 | 2 | 22% 1991 | 16 | 2 | 13% 1991 |
| 22 | 1 | 5% 1992 | 19 | 0 | 0% 1992 |
| 8 | 0 | 0% 1993 | 14 | 0 | 0% 1993 |
| 11 | 2 | 18% 1994 | 21 | 7 | 33% 1994 |

Wastewater—Water Quality

| Negative Findings | Criteria Problems | Percentage for Year | Negative Findings | Criteria Problems | Percentage for Year |
|-------------------|-------------------|---------------------|-------------------|-------------------|---------------------|
| 10 | 1 | 10% 1991 | 9 | 2 | 22% 1991 |
| 52 | 7 | 13% 1992 | 38 | 1 | 3% 1992 |
| 3 | 0 | 0% 1993 | 5 | 0 | 0% 1993 |
| 16 | 7 | 44% 1994 | 15 | 0 | 0% 1993 |

Appendix H: Comments Totaled for Each Protocol

Comments totaled for each protocol for four years of assessments expressed as a percentage of total findings for the protocol. Useful comments totaled for each protocol for 4 years of assessments expressed as a percentage of total comments for the protocol.

| Protocol | Comments/ Findings | Percent | Useful Comments /Comments | Percent |
|--------------------|-----------------------|---------|---------------------------|---------|
| Water Quality | 25/71 | 35% | 21/25 | 84% |
| Pesticides | 68/201 | 34% | 49/68 | 72% |
| Wastewater | 41/86 | 48% | 25/41 | 61% |
| UST | 34/72 | 47% | 20/34 | 59% |
| Hazardous Waste | 66/174 | 38% | 37/66 | 57% |
| Solid Waste | 44/135 | 33% | 24/44 | 55% |
| Natural Resources | 34/111 | 31% | 18/34 | 53% |
| Air Emissions | 28/62 | 45% | 14/28 | 50% |
| Cultural Resources | 47/106 | 44% | 22/47 | 47% |
| Haz. Materials | 138/322 | 43% | 62/138 | 45% |
| POL | 119/262 | 45% | 51/119 | 43% |
| Special Pollutants | 26/55 | 47% | 8/26 | 31% |

Appendix I: Questionable and Unsupported Ratings by Protocol

Questionable and unsupported ratings by protocol expressed as a percent of total findings.

Air Emissions

| Year | Findings | Questionable Ratings | Percentage | Unsupported Ratings | Percentage |
|-------|----------|----------------------|------------|---------------------|------------|
| 1991 | 10 | 1 | 10% | 0 | 0% |
| 1992 | 31 | 3 | 10% | 1 | 3% |
| 1993 | 10 | 7 | 70% | 1 | 10% |
| 1994 | 11 | 0 | 0% | 2 | 18% |
| Total | 62 | 11 | 18% | 4 | 6 % |

Cultural Resources

| Year | Findings | Questionable Ratings | Percent | Unsupported Ratings | Percent |
|-------|----------|----------------------|---------|---------------------|---------|
| 1991 | 16 | 2 | 13% | 4 | 33% |
| 1992 | 52 | 2 | 4% | 2 | 4% |
| 1993 | 16 | 0 | 0% | 0 | 0% |
| 1994 | 22 | 3 | 14% | 2 | 9% |
| Total | 106 | 7 | 7% | 8 | 8% |

Hazardous Materials

| Year | Findings | Questionable Ratings | Percent | Unsupported Ratings | Percent |
|-------|----------|----------------------|---------|---------------------|---------|
| 1991 | 28 | 1 | 4% | 0 | 0% |
| 1992 | 163 | 16 | 10% | 10 | 6% |
| 1993 | 55 | 7 | 13% | 6 | 11% |
| 1994 | 76 | 3 | 4% | 6 | 8% |
| Total | 322 | 27 | 8% | 22 | 7% |

Hazardous Waste

| Year | Findings | Questionable Ratings | Percent | Unsupported Ratings | Percent |
|-------|----------|----------------------|---------|---------------------|---------|
| 1991 | 10 | 0 | 0% | 1 | 10% |
| 1992 | 94 | 19 | 20% | 2 | 2% |
| 1993 | 34 | 3 | 9% | 0 | 0% |
| 1994 | 36 | 2 | 6% | 9 | 25% |
| Total | 174 | 24 | 18% | 12 | 7% |

Natural Resources

| Year | Findings | Questionable Ratings | Percent | Unsupported Ratings | Percent |
|-------|----------|----------------------|---------|---------------------|---------|
| 1991 | 11 | 1 | 9% | 0 | 0% |
| 1992 | 70 | 11 | 16% | 5 | 7% |
| 1993 | 5 | 0 | 0% | 0 | 0% |
| 1994 | 25 | 0 | 0% | 1 | 4% |
| Total | 111 | 12 | 11% | 6 | 5% |

Pesticides

| Year | Findings | Questionable Findings | Percent | Unsupported Findings | Percent |
|-------|----------|-----------------------|---------|----------------------|---------|
| 1991 | 15 | 2 | 13% | 0 | 0% |
| 1992 | 109 | 11 | 10% | 3 | 3% |
| 1993 | 44 | 6 | 14% | 1 | 2% |
| 1994 | 33 | 1 | 3% | 0 | 0% |
| Total | 201 | 20 | 10% | 4 | 2% |

Petroleum Oil Lubricants

| Year | Findings | Questionable Ratings | Percent | Unsupported Ratings | Percent |
|-------|----------|----------------------|---------|---------------------|---------|
| 1991 | 28 | 3 | 11% | 1 | 4% |
| 1992 | 127 | 19 | 15% | 1 | 1% |
| 1993 | 35 | 5 | 14% | 1 | 3% |
| 1994 | 72 | 17 | 24% | 10 | 14% |
| Total | 262 | 44 | 17% | 13 | 5% |

Solid Waste

| Year | Findings | Questionable Ratings | Percent | Unsupported Ratings | Percent |
|-------|----------|----------------------|---------|---------------------|---------|
| 1991 | 14 | 0 | 0% | 0 | 0% |
| 1992 | 69 | 16 | 23% | 5 | 7% |
| 1993 | 20 | 2 | 10% | 1 | 5% |
| 1994 | 32 | 6 | 19% | 7 | 22% |
| Total | 135 | 24 | 18% | 13 | 10% |

Special Pollutants

| Year | Findings | Questionable Ratings | Percent | Unsupported Ratings | Percent |
|-------|----------|----------------------|---------|---------------------|---------|
| 1991 | 9 | 0 | 0% | 1 | 11% |
| 1992 | 26 | 7 | 27% | 1 | 4% |
| 1993 | 8 | 0 | 0% | 0 | 0% |
| 1994 | 12 | 1 | 8% | 2 | 17% |
| Total | 55 | 8 | 15% | 4 | 7% |

Underground Storage Tanks

| Year | Findings | Questionable Ratings | Percent | Unsupported Ratings | Percent |
|-------------|-----------------|-----------------------------|----------------|----------------------------|----------------|
| 1991 | 16 | 2 | 13% | 0 | 0% |
| 1992 | 20 | 1 | 5% | 0 | 0% |
| 1993 | 14 | 1 | 7% | 0 | 0% |
| 1994 | 22 | 2 | 9% | 0 | 0% |
| Total | 72 | 6 | 8% | 0 | 0% |

Wastewater

| Year | Findings | Questionable Ratings | Percent | Unsupported Ratings | Percent |
|-------------|-----------------|-----------------------------|----------------|----------------------------|----------------|
| 1991 | 10 | 0 | 0% | 0 | 0% |
| 1992 | 53 | 6 | 11% | 3 | 6% |
| 1993 | 4 | 1 | 25% | 0 | 0% |
| 1994 | 19 | 5 | 26% | 4 | 21 % |
| Total | 86 | 12 | 14% | 7 | 8% |

Water Quality

| Year | Findings | Questionable Ratings | Percent | Unsupported Ratings | Percent |
|-------------|-----------------|-----------------------------|----------------|----------------------------|----------------|
| 1991 | 9 | 1 | 11% | 0 | 0% |
| 1992 | 39 | 5 | 13% | 1 | 3% |
| 1993 | 5 | 1 | 20% | 0 | 0% |
| 1994 | 18 | 1 | 6% | 0 | 0% |
| Total | 71 | 8 | 11% | 1 | 1% |

Appendix J: Major Ratings Examined and Correctly Rated by Protocol as Too Severe

Major ratings examined by protocol as too severe (questionable and unsupported) and correctly (justified) rated.

Evaluation of Majors Ratings

| Protocol | Major Ratings | Severity? | Severity? % | Not Supported | Not Supp. % | Justified | Justified % |
|---------------------------|---------------|-----------|-------------|---------------|-------------|-----------|-------------|
| Air Emissions | 17 | 8 | 47% | 2 | 12% | 7 | 41% |
| Cultural Resources | 39 | 2 | 5% | 0 | 0% | 37 | 95% |
| Hazardous Materials | 112 | 18 | 16% | 11 | 10% | 83 | 74% |
| Hazardous Waste | 56 | 15 | 27% | 2 | 4% | 39 | 70% |
| Natural Resources | 22 | 4 | 18% | 3 | 14% | 15 | 68% |
| Pesticides | 62 | 6 | 10% | 1 | 2% | 55 | 89% |
| Petroleum Oil Lubricants | 99 | 28 | 28% | 5 | 5% | 66 | 67% |
| Solid Waste | 54 | 17 | 31% | 7 | 13% | 30 | 56% |
| Special Pollutants | 12 | 2 | 17% | 2 | 17% | 8 | 67% |
| Underground Storage Tanks | 34 | 1 | 3% | 0 | 0% | 33 | 97% |
| Wastewater | 36 | 2 | 6% | 1 | 3% | 33 | 92% |
| Water Quality | 25 | 0 | 0% | 0 | 0% | 23 | 92% |
| | | | | | | | |
| Total | 568 | 103 | 18% | 34 | 6% | 429 | 76% |

Appendix K: Total Positive Findings Made for Each Protocol

Total positive findings made for each protocol with number and percentage of questionable and unsupported positive findings.

Air Emissions

| Year | Positive Findings | Questionable Positives | Percent Questionable | Unsupported Positives | Percent Unsupported |
|-------|-------------------|------------------------|----------------------|-----------------------|---------------------|
| 1991 | 1 | 0 | 0% | 0 | 0% |
| 1992 | 1 | 0 | 0% | 0 | 0% |
| 1993 | 0 | 0 | 0% | 0 | 0% |
| 1994 | 0 | 0 | 0% | 0 | 0% |
| Total | 2 | 0 | 0% | 0 | 0% |

Cultural Resources

| Year | Positive Findings | Questionable Positives | Percent Questionable | Unsupported Positives | Percent Unsupported |
|-------|-------------------|------------------------|----------------------|-----------------------|---------------------|
| 1991 | 0 | 0 | 0% | 0 | 0% |
| 1992 | 1 | 0 | 0% | 0 | 0% |
| 1993 | 0 | 0 | 0% | 0 | 0% |
| 1994 | 0 | 0 | 0% | 0 | 0% |
| Total | 1 | 0 | 0% | 0 | 0% |

Hazardous Materials

| Year | Positive Findings | Questionable Positives | Percent Questionable | Unsupported Positives | Percent Unsupported |
|-------|-------------------|------------------------|----------------------|-----------------------|---------------------|
| 1991 | 1 | 0 | 0% | 0 | 0% |
| 1992 | 11 | 1 | 9% | 1 | 9% |
| 1993 | 2 | 0 | 0% | 0 | 0% |
| 1994 | 5 | 0 | 0% | 1 | 20% |
| Total | 19 | 1 | 5% | 2 | 11% |

Hazardous Waste

| Year | Positive Findings | Questionable Positives | Percent Questionable | Unsupported Positives | Percent Unsupported |
|-------|-------------------|------------------------|----------------------|-----------------------|---------------------|
| 1991 | 1 | 0 | 0% | 1 | 100% |
| 1992 | 6 | 0 | 0% | 2 | 33% |
| 1993 | 1 | 0 | 0% | 0 | 0% |
| 1994 | 3 | 0 | 0% | 2 | 67% |
| Total | 11 | 0 | 0% | 5 | 45% |

Natural Resources

| Year | Positive Findings | Questionable Positives | Percent Questionable | Unsupported Positives | Percent Unsupported |
|-------|-------------------|------------------------|----------------------|-----------------------|---------------------|
| 1991 | 0 | 0 | 0% | 0 | 0% |
| 1992 | 5 | 0 | 0% | 0 | 0% |
| 1993 | 0 | 0 | 0% | 0 | 0% |
| 1994 | 7 | 0 | 0% | 0 | 0% |
| Total | 12 | 0 | 0% | 0 | 0% |

Pesticides

| Year | Positive Findings | Questionable Findings | Percent Questionable | Unsupported Positives | Percent Unsupported |
|-------|-------------------|-----------------------|----------------------|-----------------------|---------------------|
| 1991 | 1 | 0 | 0% | 0 | 0% |
| 1992 | 6 | 1 | 17% | 0 | 0% |
| 1993 | 1 | 0 | 0% | 1 | 100% |
| 1994 | 0 | 0 | 0% | 0 | 0% |
| Total | 8 | 1 | 13% | 1 | 13% |

Petroleum Oil Lubricants

| Year | Positive Findings | Questionable Positives | Percent Questionable | Unsupported Positives | Percent Unsupported |
|-------|-------------------|------------------------|----------------------|-----------------------|---------------------|
| 1991 | 4 | 0 | 0% | 1 | 25% |
| 1992 | 11 | 0 | 0% | 1 | 9% |
| 1993 | 3 | 0 | 0% | 1 | 33% |
| 1994 | 3 | 0 | 0% | 0 | 0% |
| Total | 21 | 0 | 0% | 3 | 14% |

Solid Waste

| Year | Positive Findings | Questionable Positives | Percent Questionable | Unsupported Positives | Percent Unsupported |
|-------|-------------------|------------------------|----------------------|-----------------------|---------------------|
| 1991 | 1 | 0 | 0% | 0 | 0% |
| 1992 | 1 | 0 | 0% | 0 | 0% |
| 1993 | 2 | 0 | 0% | 0 | 0% |
| 1994 | 5 | 0 | 0% | 0 | 0% |
| Total | 9 | 0 | 0% | 0 | 0% |

Special Pollutants

| Year | Positive Findings | Questionable Positives | Percent Questionable | Unsupported Positives | Percent Unsupported |
|-------|-------------------|------------------------|----------------------|-----------------------|---------------------|
| 1991 | 0 | 0 | 0% | 0 | 0% |
| 1992 | 4 | 3 | 75% | 0 | 0% |
| 1993 | 0 | 0 | 0% | 0 | 0% |
| 1994 | 1 | 0 | 0% | 1 | 100% |
| Total | 5 | 3 | 60% | 1 | 20% |

Underground Storage Tanks

| Year | Positive Findings | Questionable Positives | Percent Questionable | Unsupported Positives | Percent Unsupported |
|-------------|--------------------------|-------------------------------|-----------------------------|------------------------------|----------------------------|
| 1991 | 0 | 0 | 0% | 0 | 0% |
| 1992 | 1 | 0 | 0% | 0 | 0% |
| 1993 | 0 | 0 | 0% | 0 | 0% |
| 1994 | 1 | 0 | 0% | 0 | 0% |
| Total | 2 | 0 | 0% | 0 | 0% |

Waste Water

| Year | Positive Findings | Questionable Positives | Percent Questionable | Unsupported Positives | Percent Unsupported |
|-------------|--------------------------|-------------------------------|-----------------------------|------------------------------|----------------------------|
| 1991 | 0 | 0 | 0% | 0 | 0% |
| 1992 | 1 | 1 | 100% | 0 | 0% |
| 1993 | 1 | 0 | 0% | 0 | 0% |
| 1994 | 3 | 0 | 0% | 1 | 33% |
| Total | 5 | 1 | 20% | 1 | 20% |

Water Quality

| Year | Positive Findings | Questionable Positives | Percent Questionable | Unsupported Positives | Percent Unsupported |
|-------------|--------------------------|-------------------------------|-----------------------------|------------------------------|----------------------------|
| 1991 | 0 | 0 | 0% | 0 | 0% |
| 1992 | 1 | 1 | 100% | 0 | 0% |
| 1993 | 0 | 0 | 0% | 0 | 0% |
| 1994 | 3 | 1 | 33% | 0 | 0% |
| Total | 4 | 2 | 50% | 0 | 0% |

Appendix L: Negative Findings and Corrective Actions Listed by Protocol and Year

Negative findings and corrective actions listed by protocol and year with percentage of negative findings having corrective actions.

Air Emissions—Cultural Resources

| Negative Findings | Corrective Actions | Percentage for Year | Negative Findings | Corrective Actions | Percentage for Year |
|-------------------|--------------------|---------------------|-------------------|--------------------|---------------------|
| 9 | 1 | 11% 1991 | 16 | 9 | 56% 1991 |
| 30 | 11 | 37% 1992 | 51 | 26 | 51% 1992 |
| 10 | 15 | 50% 1993 | 16 | 16 | 100% 1993 |
| 11 | 8 | 73% 1994 | 22 | 17 | 77% 1994 |
| 60 | 25 | 42% Phase I | 105 | 68 | 65% Phase I |

Hazardous Materials—Hazardous Waste

| Negative Findings | Corrective Actions | Percentage for Year | Negative Findings | Corrective Actions | Percentage for Year |
|-------------------|--------------------|---------------------|-------------------|--------------------|---------------------|
| 27 | 7 | 26% 1991 | 9 | 2 | 22% 1991 |
| 152 | 67 | 44% 1992 | 88 | 44 | 50% 1992 |
| 53 | 18 | 34% 1993 | 33 | 20 | 61% 1993 |
| 71 | 54 | 76% 1994 | 33 | 26 | 79% 1994 |
| 303 | 146 | 48% | 163 | 92 | 56% |

Natural Resources—Pesticides

| Negative Findings | Corrective Actions | Percentage for Year | Negative Findings | Corrective Actions | Percentage for Year |
|-------------------|--------------------|---------------------|-------------------|--------------------|---------------------|
| | | | | | |
| 11 | 7 | 64% 1991 | 14 | 4 | 29% 1991 |
| 65 | 32 | 49% 1992 | 103 | 65 | 63% 1991 |
| 5 | 4 | 80% 1993 | 43 | 33 | 77% 1992 |
| 18 | 8 | 44% 1994 | 33 | 27 | 82% 1993 |
| | | | | | |
| 99 | 51 | 52% | 193 | 129 | 67% |

Petroleum Oil Lubricants—Solid Waste

| Negative Findings | Corrective Actions | Percentage for Year | Negative Findings | Corrective Actions | Percentage for Year |
|-------------------|--------------------|---------------------|-------------------|--------------------|---------------------|
| 24 | 9 | 38% 1991 | 13 | 2 | 15% 1991 |
| 116 | 61 | 53% 1992 | 68 | 28 | 41% 1992 |
| 32 | 25 | 78% 1993 | 18 | 3 | 17% 1993 |
| 69 | 47 | 68% 1994 | 27 | 16 | 59% 1994 |
| 241 | 142 | 59% | 126 | 49 | 39% |

Special Pollutants—Underground Storage Tanks

| Negative Findings | Corrective Actions | Percentage for Year | Negative Findings | Corrective Actions | Percentage for Year |
|-------------------|--------------------|---------------------|-------------------|--------------------|---------------------|
| 9 | 4 | 44% 1991 | 16 | 6 | 38% 1991 |
| 22 | 13 | 59% 1992 | 19 | 8 | 42% 1992 |
| 8 | 2 | 25% 1993 | 14 | 5 | 36% 1993 |
| 11 | 9 | 82% 1994 | 21 | 13 | 62% 1994 |
| 50 | 28 | 56 | 70 | 32 | 46% |

Wastewater—Water Quality

| Negative Findings | Corrective Actions | Percentage for Year | Negative Findings | Corrective Actions | Percentage for Year |
|-------------------|--------------------|---------------------|-------------------|--------------------|---------------------|
| 10 | 6 | 60% 1991 | 9 | 2 | 22% 1991 |
| 52 | 16 | 31% 1992 | 38 | 21 | 55% 1992 |
| 3 | 2 | 67% 1993 | 5 | 3 | 60% 1993 |
| 16 | 13 | 81% 1994 | 15 | 7 | 47% 1993 |
| 81 | 37 | 46% | 67 | 33 | 49% |

Appendix M: Information Included on Report Covers

Various types of information on report covers (when submitted) or headings of the first page of the report were listed and tabulated.

| No Cover | ERGO Initials | ERGO Written Out | Project or Facility Name | State Location of Site | CORPS District | Year and Report |
|----------|---------------|------------------|--------------------------|------------------------|----------------|-----------------|
| | | | | | | 1991 |
| x | | | x | | | 1 |
| | | x | x | | x | 2 |
| x | x | | x | | | 3 |
| | x | x | | | x | 4 |
| x | x | | x | | | 5 |
| | x | x | x | | x | 6 |
| | | | x | x | x | 7 |
| 3 | 4 | 3 | 6 | 1 | 4 | Total |
| | | | | | | 1992 |
| | x | x | x | | x | 1 |
| x | | | x | | x | 2 |
| x | x | | | | | 3 |
| x | | | x | | | 4 |
| | x | x | | | | 5 |
| | x | x | x | | | 6 |
| | | | x | x | x | 7 |
| | x | x | x | | | 8 |
| | | | x | | x | 9 |
| | x | x | x | | x | 10 |
| | x | x | x | x | x | 11 |
| | x | x | x | | | 12 |
| x | x | | x | | x | 13 |
| 4 | 9 | 7 | 11 | 2 | 7 | Total |
| | | | | | | 1993 |
| | | x | | | x | 1 |
| | x | x | x | | | 2 |
| | | | x | | x | 3 |
| | x | x | x | | x | 4 |
| | x | x | x | | x | 5 |
| 0 | 3 | 4 | 4 | 0 | 4 | Total |

| No Cover | ERGO Initials | ERGO Written Out | Project or Facility Name | State Location of Site | CORPS District | Year and Report |
|----------|------------------|------------------------|--------------------------------|------------------------------|-------------------|--------------------|
| | | | | | | 1994 |
| x | | | | | | 1 |
| | x | x | x | x | x | 2 |
| | | x | x | | x | 3 |
| | x | x | x | | x | 4 |
| | | | x | x | x | 5 |
| | x | | x | | x | 6 |
| | x | x | x | x | | 7 |
| | x | | x | x | x | 8 |
| | x | x | x | x | x | 9 |
| | | | | | | |
| 1 | 6 | 5 | 8 | 5 | 7 | Total |
| | | | | | | 1991 |
| x | | | | | | 1 |
| | | | | | x | 2 |
| | x | | | | | 3 |
| | | x | | | | 4 |
| | x | | | | | 5 |
| | | | | x | | 6 |
| | | | | x | | 7 |
| | | | | | | |
| 1 | 2 | 1 | 0 | 2 | 1 | Total |
| | | | | | | 1992 |
| | | | | *x | | 1 |
| x | | | | | | 2 |
| x | | | | | | 3 |
| x | | | | | | 4 |
| | | *x | | | | 5 |
| | | | | x | | 6 |
| x | | | | | | 7 |
| | | | | x | | 8 |
| | x | | | | | 9 |
| | *x | | | | | 10 |
| | | | | x | | 11 |
| | | | | *x | | 12 |
| | *x | | | | | 13 |
| | | | | | | |
| 4 | 3 | 1 | 0 | 5 | 0 | Total |
| | | | | | | 1993 |
| | | | | x | | 1 |
| | | | *x | | | 2 |
| x | | | | | | 3 |
| | | | *x | | *x | 4 |
| | | | | x | | 5 |
| | | | | | | |
| 1 | 0 | 0 | 2 | 2 | 1 | Total |
| | | | | | | 1994 |

| No Cover | ERGO Initials | ERGO Written Out | Project or Facility Name | State Location of Site | CORPS District | Year and Report |
|----------|------------------|------------------------|--------------------------------|------------------------------|-------------------|--------------------|
| x | | | | | | 1 |
| | *x | | | | | 2 |
| | x | | | | | 3 |
| | | | | *x | | 4 |
| | | | *x | | *x | 5 |
| | | | | x | | 6 |
| x | | | | | | 7 |
| | | | | x | | 8 |
| | | | | *x | | 9 |
| | | | | | | |
| 2 | 2 | 0 | 1 | 4 | 1 | Total |

Appendix N: Sample Final Report Cover with Identified Dates

Environmental Review Guide

for Operations

ERGO

Clear River Project Office

Oregon

Western District

Project Assessment: 13 - 17 May 1996

Corrective Action Plan: 26 June 1996

Final Report: 1 August 1996

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